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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shuichi TAKEUCHI et al.

Mail Stop Issue Fee  
Group Art Unit: 2655

Appln. No. : 10/087,832 ✓

Examiner: Nabil Z. HINDI  
Confirmation No.: 4775

Filed : March 5, 2002

For : OBJECTIVE LENS FOR OPTICAL PICK-UP

**REQUEST FOR INITIALED PT0-1449 FORM**

Commissioner for Patents  
U.S. Patent and Trademark Office  
220 20th Street S.  
Customer Window, Mail Stop Issue Fee  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington VA 22202

Sir:

On June 4, 2002, Applicants filed an Information Disclosure Statement in the above-captioned matter. Applicants note that the Examiner did not indicate consideration of U.S. Patent Publication No. 2001/0008513 to ARAI et al., which was cited in the Information Disclosure Statement filed June 4, 2002. Applicants note that while the U.S. Patents and other patent documents were indicated as being considered, the U.S. Pub. 2001/008513 was crossed off and not initialed on the PTO-1449 Form.

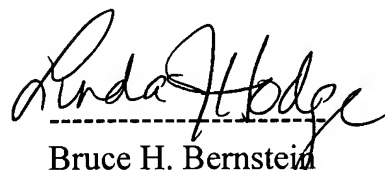
However, Applicants respectfully point out that the Information Disclosure Statement filed June 4, 2002 fully complied with the duty of disclosure under 37 C.F.R. 1.56, 1.97, and 1.98 and with MPEP 609. In this regard, on June 4, 2002, Applicants filed a list of all patents, publications, and applications cited, along with a legible copy of

each. In particular, the Information Disclosure Statement included a Form PTO 1449 on which U.S. Patent Publication No. 2001/0008513 was listed and a copy of the same. Accordingly, since the duty of disclosure, including 37 C.F.R. 1.98, has been fully complied with, it is respectfully submitted that U.S. Patent Publication No. 2001/0008513 must be considered by the Examiner. Further, the citation to U.S. Patent Publication NO. 2001/0008513 must be initialed on the Form PTO 1449 in accordance with MPEP 609 IIIC(2) ("Examiners must consider all citations submitted in conformance with the rules and this section, and their initials when placed adjacent to the considered citations on the list or in the boxes provided on a form PTO-1449). Therefore, Applicants respectfully submit that in view of the herein contained remarks, the Information Disclosure Statement filed June 4, 2002 is proper under 37 C.F.R. § 1.97 and 1.98. Accordingly, the Examiner is requested to acknowledge receipt of the Information Disclosure Statement and consideration of all of the materials cited therein as soon as possible. Accordingly, Applicants respectfully request that the Examiner initial the space adjacent to the citation of ARAI et al. and return a signed and initialed copy of the Form PTO-1449 Form to the Applicants as soon as possible.

For the convenience of the Examiner, Applicants are submitting herewith a copy of the Information Disclosure Statement filed June 4, 2002, a copy of the Form PTO-1449 filed therewith, a copy of U.S. Patent Publication No. 2001/0008513, and a copy of the respective date-stamped mailroom receipt evidencing the filing of the same.

Should there be any questions, the Examiner is invited to contact the undersigned  
at the below-listed telephone number.

Respectfully submitted,  
Shuichi TAKEUCHI et al.

 Reg No 42348  
-----  
Bruce H. Bernstein  
Reg. No. 29,027

October 1, 2004  
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
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Reston, VA 20191  
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6/04/2002

File In: MAILROOM

The Patent Office Date stamp hereon is an acknowledgement that, on the date indicated, the Patent Office received the following:

- (X) COPY OF U.S. APPLICATION NOS. 09/473,684, 09/556,416, 09/716,291, 09/725,199,  
09/747,969, 09/912,440, 09/962,301 & 10/107,133
- |  |  |
|--|--|
| <input type="checkbox"/> Amendment   | <input type="checkbox"/> Claim of Priority & Certified Copy of _____       |
| <input type="checkbox"/> Executed Assignment and cover letter<br><input type="checkbox"/> by facsimile |  |
| <input type="checkbox"/> Executed S.E.S. <input type="checkbox"/> S.E.S. Assertion                     | <input type="checkbox"/> Declaration <input type="checkbox"/> Supplemental |
| <input type="checkbox"/> Req. for Ext. of Time   | <input type="checkbox"/> New <input type="checkbox"/> Unexecuted           |
| <input type="checkbox"/> Fee Filing <input type="checkbox"/>   | <input type="checkbox"/> Executed by facsimile                             |
| Recording <input type="checkbox"/>   |  |
| Issue <input type="checkbox"/>   | <input type="checkbox"/> Transmittal Letter                                |
| Extension <input type="checkbox"/>   | <input type="checkbox"/> Patent Application                                |
| <input type="checkbox"/> Fee Transmittal   | <input type="checkbox"/> Provisional <input type="checkbox"/> Reexam       |
| <input type="checkbox"/> Maintenance Fee Payment   | <input type="checkbox"/> Reissue <input type="checkbox"/> Design           |
| <input type="checkbox"/> PTOL-85B Issue Fee  | <input type="checkbox"/> Continuation <input type="checkbox"/> CIP         |
| <input type="checkbox"/> Letter to Draftsman   | _____ pages (w/abstract)   |
| <input type="checkbox"/> Design Patent Application Transmittal   | _____ claims _____ independent   |
| <input type="checkbox"/> Utility Patent Application Transmittal  | _____ sheets of drawings   |
| <input type="checkbox"/> Provisional Application Cover Sheet   | _____ figures  |
| <input type="checkbox"/> Continued Prosecution Application   | (X) I.D.S. form PTO-1449 &   |
| (CPA) Request Transmittal  | References <input type="checkbox"/> as attached                            |
| <input type="checkbox"/> Request for Continued Examination (RCE)                                       | (X) as listed on   |
| including Submission   | reverse  |
| <input type="checkbox"/> Cover Letter  | <input type="checkbox"/> One self-addressed postcard                       |
| <input type="checkbox"/> Check No. _____ for \$ _____  | <input type="checkbox"/> Certification under 1.97(e)                       |
| <input type="checkbox"/> Rule 53b and 53f Letter for   | <input type="checkbox"/> Certificate of Mailing (C-O-M)                    |
| Unexecuted Application   | <input type="checkbox"/> Returned Envelope                                 |



In the matter of : OBJECTIVE LENS FOR OPTICAL PICK-UP

Applicant : Shuichi TAKEUCHI *et al.*

**COPY**

Application No. : 10/087,832

Filed : 3/05/2002

Patent No. :

Issued :

Docket : P21873

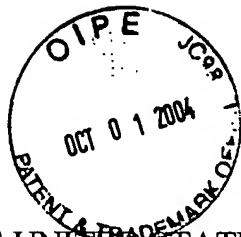
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		5	8	8	3	7	4	4	03/16/99	MARUYAMA			
		6	0	8	8	3	2	2	07/11/00	BROOME et al.			
		6	1	1	8	5	9	4	09/12/00	MARUYAMA			
		6	1	9	1	8	8	9	02/20/01	MARUYAMA			
		6	3	4	4	9	3	5	02/05/02	MARUYAMA			
2001	/	0	0	0	8	5	1	3	07/19/01	ARAI et al.			
200	1	-	3	3	8	4	3	1	12/07/01	JAPAN			
		1	1	0	2	2	5	1	05/23/01	E.P.O.			

**COPY**

P21873.A01



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shuichi TAKEUCHI et al.

Group Art Unit: 2651

Appln. No. : 10/087,832

Examiner:

Filed : March 5, 2002

For : OBJECTIVE LENS FOR OPTICAL PICK-UP

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner of Patents  
Washington, D.C. 20231

**COPY**

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56, §§1.97-1.98,  
Applicants hereby call the following documents to the Examiner's attention:

Japanese Laid Open Patent Publication No. 2001-338431, published on December 7,  
2001, together with its English language counterpart EP 1 102 251, published on May 23,  
2001;

U.S. Patent No. 5,883,744 to MARUYAMA, issued on March 16, 1999;

U.S. Patent No. 6,088,322 to BROOME et al., issued on July 11, 2000;

U.S. Patent No. 6,118,594 to MARUYAMA, issued on September 12, 2000;

U.S. Patent No. 6,191,889 to MARUYAMA, issued on February 20, 2001;

U.S. Patent No. 6,344,935 to MARUYAMA, issued on February 5, 2002; and

U.S. Patent Publication No. 2001/0008513 to ARAI et al., published on July 19, 2001.

# COPY

P21873.A01

Applicants respectfully request that the Examiner consider the above materials and cite the patent documents. Copies of the above-noted documents are attached and have been listed on a PTO-1449 Form which is also attached hereto. Accordingly, the Examiner is requested to initial the appropriate spaces on the attached PTO-1449 Form and to return a copy of the Form to the Applicants with the next official communication in the present application to confirm consideration of these documents.

Applicants also bring to the Examiner's attention the following copending and commonly assigned patent applications:

U.S. Patent Application No. 09/473,684 to MARUYAMA, entitled "Optical Pick-Up", filed on December 29, 1999;

U.S. Patent Application No. 09/556,416 to MARUYAMA, entitled "Optical System of Optical Pick-Up", filed on April 24, 2000;

U.S. Patent Application No. 09/716,291 to MARUYAMA, entitled "Objective Lens for Optical Pick-Up", filed on November 21, 2000;

U.S. Patent Application No. 09/725,199 to MARUYAMA, entitled "Optical System for Optical Head", filed on November 29, 2000;

U.S. Patent Application No. 09/747,969 to MARUYAMA, entitled "Objective Lens for Optical Pick-Up", filed on December 27, 2000;

# COPY

P21873.A01

U.S. Patent Application No. 09/918,440 to MARUYAMA, entitled "Objective Lens for Optical Pick-Up", filed on August 1, 2001;

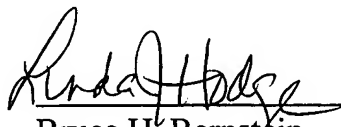
U.S. Patent Application No. 09/962,301 to TAKEUCHI et al., entitled "Optical System for Optical Head", filed on September 26, 2001; and

U.S. Patent Application No. 10/107,133 to TAKEUCHI et al., entitled "Objective Lens for Optical Pick-Up", filed on March 28, 2002.

In accordance with 37 C.F.R. §1.98(a)(2)(iii), copies of the above-mentioned applications are attached hereto. However, the Examiner is also requested to review the file wrapper of these U.S. patent applications at the U.S. Patent and Trademark Office and the references of record, if any, cited therein.

Should the Examiner have any questions, the Examiner is invited to contact the undersigned at the below-listed telephone number.

Respectfully submitted,  
Shuichi TAKEUCHI et al.

  
Bruce H. Bernstein  
Reg. No. 29,027  
Reg No 47348  
Resigned 10/1/04

June 3, 2002  
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OCT 01 2004

Sheet 1 of 1

Form PTO-1449	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. P21873	Serial No. 10/087,832
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant Shuichi TAKEUCHI et al.	
		Filing Date March 5, 2002	Group 2651

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5 8 8 3 7 4 4	03/16/99	MARUYAMA			
	6 0 8 8 3 2 2	07/11/00	BROOME et al.			
	6 1 1 8 5 9 4	09/12/00	MARUYAMA			
	6 1 9 1 8 8 9	02/20/01	MARUYAMA			
	6 3 4 4 9 3 5	02/05/02	MARUYAMA			
2001 /	0 0 0 8 5 1 3	07/19/01	ARAI et al.			

COPY

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
200	1 - 3 3 8 4 3 1	12/07/01	JAPAN			
	1 1 0 2 2 5 1	05/23/01	E.P.O.			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.